

FORM PTO-1390
(REV 10-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

GIN-6713CPUS

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C.371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

097554933

INTERNATIONAL APPLICATION

PCT/JP98/05238

INTERNATIONAL FILING DATE

20 November 1998 (20.11.98)

PRIORITY DATE CLAIMED

25 November 1997 (25.11.97)

TITLE OF INVENTION

**HUMAN PROTEINS HAVING TRANSMEMBRANE DOMAINS AND DNAs ENCODING
THESE PROTEINS**

APPLICANT(S) FOR DO/EO/US

Seishi KATO; Tomoko KIMURA; and Shingo SEKINE

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C.371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (**unexecuted**) (**5 sheets**);
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: **Transmittal Letter (2 sheets in duplicate); Sequence Diskette Transmittal Letter with Sequence Listing Diskette and hard copy of Sequence Listing attached (26 sheets); PCT Notification of Receipt of Record Copy (PCT/IB/301) (2 sheets); PCT Notification Concerning Submission or Transmittal of Priority Document (Form PCT/IB/304) (1 sheet); PCT Notification of the Recording of a Change (Form PCT/IB/306) (1 sheet); PCT International Published Application (WO 99/27094) (without International Search Report) (89 sheets); PCT International Search Report (Form PCT/ISA/210) (5 sheets); PCT Information Concerning Elected Offices Notified of their Election (Form PCT/IB/332) (1 sheet); Cover Page of PCT International Published Application (WO 99/27094) (1 sheet); PCT Notification of Transmittal of the International Preliminary Examination Report (Form PCT/IPEA/416) (9 sheets); PCT Written Opinion (7 sheets); Check (#037073) (\$1100); Certificate of Express Mailing (1 sheet); and Return Postcard.**

COPY

SCAN8

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NO.	
09/554933		PCT/JP98/05238		GIN-6713CPUS	
17. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) .(a/o January 1, 2000):					
Search Report has been prepared by the EPO or JPO.....				\$840	
International preliminary examination fee paid to USPTO (37 CFR 1.482).....				\$670	
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....				\$690	
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....				\$670	
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....				\$96	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$840	
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$--	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	11 -20 =	0	X \$18.00	\$0	
Independent claims	2 -3 =	0	X \$78.00	\$0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ 260.00	\$260	
TOTAL OF ABOVE CALCULATIONS =				\$1100	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28)				\$--	
SUBTOTAL =				\$1100	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$--	
TOTAL NATIONAL FEE =				\$1100	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$--	
TOTAL FEES ENCLOSED =				\$1100	
				Amount to be: refunded	\$
				charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$1100 to cover the above fees is enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-0080. A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Amy E. Mandragouras, Esq.					
LAHIVE & COCKFIELD, LLP					
28 State Street					
Boston, Massachusetts 02109					
United States of America					
(617)227-7400					
Date: 22 May 2000					
				SIGNATURE	
				Peter C. Lauro	
				NAME	
				32,360	
				REGISTRATION NUMBER	

IN THE UNITED STATES PATENT DESIGNATED OFFICE (DO/US)
(National Phase of International App.: PCT/JP98/05238)

In re the
application of: **Seishi KATO et al.**

International Application No.: **PCT/JP98/05238**

International Filing Date: **20 November 1998**

U.S. Serial No.: **Not yet assigned**

Filed: **Herewith**

For: **HUMAN PROTEINS HAVING
TRANSMEMBRANE DOMAINS AND DNAs
ENCODING THESE PROTEINS**

Attorney Docket No.: **GIN-6713CPUS**

Assistant Commissioner for Patents
BOX PCT
Washington, D.C. 20231

Certification Under 37 CFR 1.10

I hereby certify that the attached:

Transmittal Letter (2 sheets in duplicate); Sequence Diskette Transmittal Letter with Sequence Listing Diskette and hard copy of Sequence Listing attached (26 sheets); Declaration, Petition and Power of Attorney (unexecuted) (5 sheets); PCT Notification of Receipt of Record Copy (2 sheets); PCT Notification Concerning Submission or Transmittal of Priority Document (1 sheet); PCT Notification of the Recording of a Change (1 sheet); PCT International Published Application (WO 99/27094) (without International Search Report) (89 sheets); PCT International Search Report (5 sheets); PCT Information Concerning Elected offices Notified of their Election (1 sheet); Cover Sheet PCT International Published Application (WO 99/27094) (1 sheet); PCT Notification of Transmittal of the International Preliminary Examination Report (9 sheets); PCT Written Opinion (7 sheets); Check (#0037073) (\$1100); Certificate of Express Mailing (1 sheet); and Return Postcard are being deposited by me with the United States Postal Service "Express Mail Post Office to Addressee" service, Mailing Label No. **EL 178 690 575 US**, under 37 CFR 1.10 on the date indicated below and is addressed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231.

Date: 22 May 2000

Name: Larry Taylor

Signature: Larry Taylor